



## **IDAHO DEPARTMENT OF FINANCE**

**Securities Bureau  
700 W. State St., 2nd Fl., Boise, ID 83702  
P.O. Box 83720, Boise, ID 83720-0031  
Website: [finance.idaho.gov](http://finance.idaho.gov)  
Fax: 208/332-8099  
208/332-8004**

### **CHECKLIST FOR AGENT OF ISSUER APPLICATIONS**

The following should be submitted to the Department of Finance, Securities Bureau:

- a. Form U-4, completed and signed
- b. Agent licensing fee of \$50 (Licenses expire on December 31 of each year)
- c. \$10,000 surety bond\* [See Rule 83.02(iv) pursuant to the Uniform Securities Act (2004) of the State of Idaho (Act)]

\*A waiver of the bond requirement is granted to up to two officers of the issuer. The bond is required of any other officers wishing to apply as agents. [See Rule 83.02(c) pursuant to the Act]

- d. Proof of examinations (Series 63 or Series 66 and one general securities examination)\*

\*A waiver of the examination requirement is granted to up to two officers of the issuer. Examinations are required of any other officers wishing to apply as agents. If an officer acting as agent of issuer is licensed for more than one fund or offering during a five year period, he must pass the Series 63 or Series 66 examination plus one general securities examination. [See Rule 83.02(c) pursuant to the Act]